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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/492,534	01/27/2000	Yair Frankel	PM265649	9997

909 7590 02/18/2003

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EXAMINER

GREENE, DANIEL L

ART UNIT PAPER NUMBER

3621

DATE MAILED: 02/18/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Application No.

09/492,534

Applicant(s)

FRANKEL ET AL.

Examiner

Daniel L. Greene

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 27 January 2000.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-42 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-42 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 27 January 2000 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.  
If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

### Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All b) ☐ Some \* c) ☐ None of:  
1. ☐ Certified copies of the priority documents have been received.  
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).  
\* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).  
a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☒ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892) 4) ☐ Interview Summary (PTO-413) Paper No(s). \_\_\_\_\_
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948) 5) ☐ Notice of Informal Patent Application (PTO-152)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) 4. 6) ☐ Other: \_\_\_\_\_

## DETAILED ACTION

### *Claim Rejections - 35 USC § 103*

1. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 1-31, 33 and 35-42 are rejected under 35 U.S.C. 103(a) as being unpatentable over Mandler et al. US 5,732,400 [Mandler].

As per claim 1.

Mandler discloses;

the subscriber entity requesting service from the principal entity by sending a request message to a registrar entity of the plurality of entities; Fig. 4A-1, Col.6, lines 54-67

the registrar entity verifying the subscriber entity and forwarding the request for service to the principal entity; Col.4, lines 1-10, Col. 11,lines 14-33.

and the registrar entity verifying the authenticity of the received acknowledgement message, and, if correct, forwarding the acknowledgement message to the subscriber entity. Col. 7, lines 39-52

Mandler discloses the claimed invention except for the principal entity storing the forwarded request and transmitting an acknowledgement message to the registrar

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entity, the acknowledgement stating acceptance and authentication/authorization information that the subscriber entity requires for the requested service. However, Mandler teaches that it is known to have accounting packages that establishes Accounts Receivables (A/R) databases storing pertinent data. Col.10, lines 30-50. Mandler further teaches about providing instructions and rules to the main processor in how to conduct business.

It would have been obvious to one having ordinary skill in the art at the time the invention was made to have the principal entity storing the forwarded request and transmitting an acknowledgement message to the registrar entity, the acknowledgement stating acceptance and authentication/authorization information that the subscriber entity requires for the requested service as taught by Mandler, since Mandler states at Col.10, lines 53-50 that such a modification would provide the storing and transmission of data to facilitate the accounting and controls required to track and accomplish financial transactions between various parties.

As per Claim 2.

Mandler further discloses;

wherein the request message contains an indication of the type of service requested by the subscriber entity. Col. 14, lines 6-15.

As per Claim 3.

Mandler further discloses;

wherein the request message contains one or more of the following:

- (a) a unique reference to the subscriber entity;
- (b) attributes about the subscriber entity;
- (c) authentication information to be used to authenticate use of the service; Col.7,

lines 93-52

- (d) transactional verification information;
- (e) representations by the subscriber entity agreeing to what the subscriber accepts;
- (f) preferred service relationships;
- (g) a subscriber's authenticator.

As per Claim 4.

Mandler further discloses;

wherein the unique reference to the subscriber is at least one of (a) the subscriber's identity, (b) a pseudonym for one-time service, and (c) a pseudonym for continued use of the service. Col. 6, lines 22-67.

As per Claim 5.

Mandler further discloses;

wherein the session identifier links future responses to this particular request.

Col. 10, lines 27-52.

As per Claim 6.

Mandler further discloses;

wherein the attributes about the subscriber include:

(a) self-representations; Col. 6, lines 5-67. and

(b) third-party representations asserting attributes. Col. 6, lines 5-67.

As per Claim 7.

Mandler further discloses;

wherein said representations and attributes include at least some of.

(a) addresses; Col. 6, lines 5-67.

(b) employment information; Col. 6, lines 5-67.

(c) information from other entities needed for service provisioning; and (d)  
authorizations from other parties. Col.6, lines 5-67.

As per Claim 8.

Mandler further discloses;

modifying the registration of the subscriber entity at the principal entity. Col.7,  
lines 1-52.

As per Claim 9.

Mandler further discloses;

moving the registration for service from the principal entity to another entity of  
said plurality of entities. Fig. 1-B

As per Claim 10.

Mandler further discloses;

operating cryptographically supported transaction involving the subscriber entity,  
the principal entity and possibly additional entities. Col.5, lines 60-65.

As per Claim 11.

Mandler further discloses;

wherein the subscriber entity comprises a plurality of elements. Col.6, lines 54-  
65.

As per claim 12.

Mandler further discloses;

wherein the plurality of elements are associated with an entity. Col. 6, lines 54-65.

As per Claim 13.

Mandler further discloses;

where said service is a subset of a totality of services. Col. 6, lines 5-21.

As per Claim 14.

Mandler discloses the claimed invention, as discussed above, except for the step of where service is a warranty service. It would have been an obvious matter of design choice to modify the teachings of Mandler, to provide the step of where service is warranty service. Since the applicant has not disclosed that where the service is warranty service solves any stated problem in a new or unexpected way or is for any particular purpose which is unobvious to one of ordinary skill and it appears that the invention would perform equally well whether the service was for repair, upgrade, replacement, etc., naming a service a warranty service does not make it statutory or unique.



As per Claim 15.

Mandler further discloses;

wherein another subset of the totality of services to the subscriber entity is provided by an entity different from principal entity. Col. 18, lines 1-10.

As per Claim 16.

Mandler further discloses;

wherein the subscriber entity can modify the subset of totality of services between entities. Col. 7, lines 17-52.

As per Claim 17.

Mandler discloses the claimed invention except for where modification is supervised by authorities. It would have been obvious to one have ordinary skill in the art at the time the invention was made to designate the clearinghouse as a supervising authority since it was known in the art that the entity providing the authorization for transactions is a supervising authority. .

As per Claim 18.

Mandler discloses the claimed invention except for where authorities supervise moving of services. It would have been obvious to one have ordinary skill in the art at the time the invention was made to designate the clearinghouse as a supervising

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authority since it was known in the art that the entity providing the authorization for transactions is a supervising authority where moving of services is supervised .

As per Claim 19.

Mandler further discloses;

where provision of service may involve additional entity from the said plurality of entities. Col. 18, lines 1-10

As per Claim 20.

Mandler further discloses;

where provision of service is split between said principal entity and said additional entity. Col.18, lines 1-10.

As per Claim 21.

Mandler further discloses;

wherein provision of service by said principal entity on behalf of said subscriber entity is given by said operating infrastructure to an entity within said plurality of entities. Col.9, lines 48-60.

As per Claim 22.

Mandler further discloses;

wherein said provision of service by said principal entity involves other entities within said plurality of entities. Col.9, lines 33-46.

As per Claim 23.

Mandler further discloses;

wherein said warranty service involves correctness of representation of information. Col.4, lines 20-63.

As per Claim 24.

Mandler further discloses;

wherein said representation of information is at least one of. (a) identity information, (b) financial information; (c) information derived from provision of service within said infrastructure. Col. Col.3, lines 32-65.

As per Claim 25.

Mandler further discloses;

wherein the system includes a mechanism to initiate claims against failed warranty. Col. 8, lines 1-15.

As per Claim 26.

Mandler further discloses;

wherein said service provision involve control of access. Col. 7, lines 39-67.

As per Claim 27.

Mandler further discloses;

wherein at least one of said plurality of entities is an enterprise. Col.4, lines 43-55.

As per Claim 28.

Mandler further discloses;

wherein at least one of said plurality of entities is a financial institute. Col.4, lines 30-40.

As per Claim 29.

Mandler discloses the claimed invention, as discussed above, except for the step of wherein said principal entity is a group of elementary entities. It would have been an obvious matter of design choice to modify the teachings of Mandler to provide the step of wherein said principal entity is a group of elementary entities. Since the applicant has not disclosed that wherein said principal entity is a group of elementary entities solves any stated problem in a new or unexpected way or is for any particular purpose which is unobvious to one of ordinary skill and it appears that the invention would perform

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equally well whether the entity was elementary, primary, secondary, etc. Naming an entity as elemental does not make it statutory or unique.

As per Claim 30.

Mandler further discloses;

wherein said provision of service by principal entity is directed by said subscriber entity. Col. 7, lines 20-37.

As per Claim 31.

Mandler further discloses;

wherein registration modification transactions involve managing capabilities. Col.6, lines 5-67.

As per Claim 33.

providing, by the principal entity, at least one of a set of various service transactions to the subscriber entity. Col.6, lines 5-53.

As per Claim 35.

Mandler further discloses;

wherein at least one of said service transactions involves assuring an entity's state. Col.6, lines 5-53.

As per Claim 36.

Mandler further discloses;

wherein at least one of said service transactions involves assuring financial information. Col.6, lines 44-53.

As per Claim 37.

Mandler further discloses;

wherein at least one of said service transactions involves assurance of identity and assurance of entity's state. Col.6, lines 5-21.

As per Claim 38.

Mandler further discloses ;

where some of said plurality of entities are supervised by other entities in at least one transaction. Col. 9, lines 1-11.

As per Claim 39.

Mandler further discloses ;

where services involve fees based on service agreements and contracts. Col. 8, lines 1-15.

As per Claim 40.

Mandler further discloses;

wherein added control and additional entities assure integrity of transactions within the system. Col.8, lines 20-35.

As per Claim 41.

Mandler further discloses;

wherein providing two or more independent reports enhances the integrity of the management function. Col.10, lines 27-52.

As per Claim 42.

Mandler further discloses;

wherein the management function controls actions of assurance offering entities on a per transaction basis. Col. 6, lines 5-53.

***Claim Rejections - 35 USC § 103***

2. Claims 32 and 34 are rejected under 35 U.S.C. 103(a) as being unpatentable over Mandler et al. US 5,732,400 as applied to claims 1-31, 33 and 35-42 above, and further in view of Rosen US 6,336,095 [Rosen]

As per Claim 32.

Mandler discloses the claimed invention except for the wherein registration modification transactions involve cryptographic key management. However, Mandler does teach using known authentication and encryption systems. Rosen teaches that it is known to have registration modification transactions involving cryptographic key management. It would have been obvious to one having ordinary skill in the art at the time the invention was made to incorporate registration modification transactions that involve cryptographic key management as taught by Rosen, since Rosen states at Col.1, lines 65-67 and Col. 2, lines 1-2 that such a modification would allow customers to buy electronic merchandise or services on demand without enrolling in an electronic community.

As per Claim 34.

Mandler discloses the claimed invention except for the wherein said providing involves the certification of digital identities. However, Mandler does teach using known authentication and encryption systems. Rosen teaches that it is known to have certification of digital identities. It would have been obvious to one having ordinary



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skill in the art at the time the invention was made to incorporate wherein said providing involves the certification of digital identities as taught by Rosen, since Rosen states at Col.10, lines 35-67 that such a modification would provide a network of trusted servers to without enrolling in an electronic community .

Examiner's Note: Examiner has cited particular columns and line numbers in the references as applied to the claims below for the convenience of the applicant.

Although the specified citations are representative of the teachings in the art and are applied to the specific limitations within the individual claim, other passages and figures may apply as well. It is respectfully requested from the applicant, in preparing the responses, to fully consider the references in entirety as potentially teaching all or part of the claimed invention, as well as the context of the passage as taught by the prior art or disclosed by the examiner.

### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Daniel L. Greene whose telephone number is 703.306.5539. The examiner can normally be reached on M-Thurs. (8:00-5:30).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James P Trammell can be reached on 703.305.9768. The fax phone numbers for the organization where this application or proceeding is assigned are

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703.305-7687 for regular communications and 703.305.7687 for After Final  
communications.

Any inquiry of a general nature or relating to the status of this application or  
proceeding should be directed to the receptionist whose telephone number is 703.308-  
1113.

DLG  
February 4, 2003

John V. Hayes  
Primary Examiner